

UTILITY PATENT APPLICATION TRANSMITTAL

(New Nonprovisional Applications Under 37 CFR § 1.53(b))

Attorney Docket No.

CISCP604

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Transmitted herewith is the patent application of () application identifier or (X) first named inventor, VINCENT K. JONES et al., entitled SYNCHRONIZATION IN OFDM SYSTEMS, for a(n):

(X) Original Patent Application.

() Continuing Application (prior application not abandoned):

() Continuation () Divisional () Continuation-in-part (CIP)

of prior application No: _____ Filed on: _____.

() A statement claiming priority under 35 USC § 120 has been added to the specification.

Enclosed are:

(X) Specification; 30 Total Pages.

(X) Drawing(s); 8 Total Sheets.

(X) Oath or Declaration:

() A Newly Executed Combined Declaration and Power of Attorney:

() Signed.

(X) Unsigned.

() Partially Signed.

() A Copy from a Prior Application for Continuation/Divisional (37 CFR § 1.63(d)).

() Incorporation by Reference. The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied, is considered as being part of the disclosure of the accompanying application and is hereby incorporated herein by reference.

() Signed Statement Deleting Inventor(s) Named in the Prior Application. (37 CFR § 163(d)(2)).

() Power of Attorney.

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() Statement(s) of Status as a Small Entity Filed in Prior Application, Status Still Proper and Desired.

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Total Claims	25	5	\$18.00	\$ 90.00
Independent Claims	10	7	\$78.00	\$ 546.00
Multiple Dependent Claims (if applicable)				\$0.00
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Respectfully submitted,

By: _____

Dan Lang, Attorney of Record, Reg. No. 38,531

Date: 2/5/99

Correspondence Address:

Ritter, Van Pelt & Yi
Customer No. 21912

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SYNCHRONIZATION IN OFDM SYSTEMS

Vincent K. Jones
(a United States citizen)
2208 Hastings Shore Lane
Redwood Shores, California 94065

Gregory G. Raleigh
(a United States citizen)
539 San Juan Ave.
P.O. Box 1870
El Granada, CA 94018

Entity: Large

Ritter, Van Pelt & Yi LLP
4906 El Camino Real, Suite 205
Los Altos, CA 94022
(650) 903-3500

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STATEMENT OF RELATED APPLICATIONS

The contents of both related application are herein incorporated by reference for all purposes.

In an OFDM (orthogonal frequency division multiplexing) communication system, data is communicated in a series of time domain bursts. To form each time domain burst, an IFFT is applied to a group of frequency domain symbols and a cyclic prefix is added to the transform

result prior to transmission. Transmission may involve conversion to an analog signal, conversion to an intermediate frequency (IF), then upconversion to a desired selectable carrier frequency prior to final amplification and propagation across a transmission medium. Upconversion is typically achieved by mixing the IF signal with a variable frequency oscillator signal. The carrier frequency is varied by varying the oscillator frequency.

On the receiver end, preamplification is followed by downconversion to IF from the carrier frequency, again by mixing with a variable frequency oscillator. The resulting IF signal is typically converted to a baseband digital symbol sequence. The cyclic prefix is removed and an FFT is applied to recover the original frequency domain symbols.

For successful communications, certain parameters must be synchronized between the transmitter and the receiver. For example, the transmitter and receiver must have a common and precise shared understanding of the transmission frequency. In the exemplary system described above, this means that the variable frequency oscillators at the transmitter and receiver should be locked to each other. Imprecision with respect to the transmission frequency will cause inaccurate recovery of the OFDM symbols. To maintain system performance, it is desirable to always maintain frequency offset between the transmitter and receiver to within 1% of the spectral width occupied by a single frequency domain OFDM symbol.

When the receiver initially acquires the transmitter, it is desirable that the synchronization system tolerates and corrects a very wide misalignment between the transmitter and receiver oscillators. This allows the use of much lower cost analog components.

Also since OFDM communication proceeds on a burst by burst basis, the receiver and transmitter must agree on exactly when each burst begins. Again, the consequence of missynchronization will be lost data.

Additionally, the length of the cyclic prefix used by the transmitter will depend on the transmitter's understanding of the duration of the transmission channel's impulse response. This information may not necessarily be immediately available to the receiver in systems where the transmitter is a hub of a point to multipoint system. In these cases, the modulation parameters, including the cyclic prefix, may be programmable at the hub and each subscriber unit must "turn on" and acquire this OFDM modulation parameter. Upon acquisition, the receiver therefore must also determine the cyclic prefix length used by the transmitter.

SUMMARY OF THE INVENTION

By virtue of the present invention, highly effective systems and methods for synchronizing OFDM receiver parameters to an OFDM transmitter are provided. These parameters may include carrier frequency, burst timing, and cyclic prefix length. These systems and methods incorporate special structural features into the OFDM signal to facilitate synchronization. In one embodiment, a supplemental cyclic prefix is added to an OFDM signal to facilitate synchronization. In an alternative embodiment, a synchronization burst with a periodic structure is used to facilitate synchronization. According to the present invention, synchronization may be maintained even if low cost analog oscillator components are used.

A first aspect of the present invention provides a system for transmitting an OFDM signal via a channel to facilitate receiver synchronization. The system includes: a transforming stage that transforms a series of frequency domain data symbols into a burst of time domain symbols, and a cyclic prefix appending stage that appends to a beginning of the time domain burst a cyclic prefix duplicating a last segment of the time domain burst, wherein the cyclic prefix includes a first portion having length v wherein v is greater than or equal to an impulse response of the channel, and further includes a second portion after the first portion to facilitate receiver synchronization.

A second aspect of the present invention provides a system for transmitting an OFDM signal to facilitate receiver synchronization including: a synchronization burst generation stage that develops a frequency domain burst wherein periodically spaced frequency domain symbols of the burst have predetermined values and frequency domain symbols between the periodically

spaced frequency domain symbols have null energy; and a transform processing stage that transforms the frequency domain burst into a time domain burst.

Other features and advantages of the invention will become readily apparent upon review of the following detailed description in association with the accompanying drawings.

BRIEF DESCRIPTION OF THE DRAWINGS

Fig. 1 depicts an OFDM transmitter system according to one embodiment of the present invention.

5 Fig. 2 depicts an OFDM receiver system according to one embodiment of the present invention.

Fig. 3 depicts a null tone pattern in a synchronization burst according to one embodiment of the present invention.

10 Fig. 4 is a flowchart describing steps of acquiring burst timing and frequency offset based on the synchronization burst of Fig. 3 according to one embodiment of the present invention.

Fig. 5 is a diagram of an OFDM data burst having a supplemental cyclic prefix appended according to one embodiment of the present invention.

15 Fig. 6 is a flowchart describing steps of acquiring burst timing and frequency offset timing based on the structure of the OFDM data burst of Fig. 5 according to one embodiment of the present invention.

Fig. 7 is a flowchart describing steps of tracking burst timing and frequency offset timing based on the structure of the OFDM data burst of Fig. 5 according to one embodiment of the present invention.

20 Fig. 8 depicts a graph of a cost function for acquiring burst timing according to one embodiment of the present invention.

DESCRIPTION OF SPECIFIC EMBODIMENTS

OFDM System Overview

Fig. 1 depicts an OFDM transmitter system 100 according to one embodiment of the present invention. A source 102 originates data symbols to be transmitted in orthogonal frequency domain subchannels. Any channel coding technique or combination of techniques may be applied to the frequency domain data symbols. To assist in estimating characteristics of the channel, training symbols having known values may be interspersed with the data symbols by a training symbol injection system 104. The output of training symbol injection system 104 is a series of N-symbol frequency domain bursts where N is a length of an IFFT procedure applied by an IFFT processing block 106. IFFT processing block 106 generates time domain output bursts from frequency domain input bursts.

According to the present invention, certain bursts may be special synchronization bursts generated by a synchronization burst generation system 108. As described below, these synchronization bursts have special frequency domain characteristics to facilitate receiver alignment to the transmitter's burst timing and carrier frequency.

The time domain burst output by IFFT processing block 106 is augmented with a cyclic prefix prior to transmission by a cyclic prefix addition block 110. The cyclic prefix addition process can be characterized by the expression:

$$\begin{bmatrix} z(1) & \cdots & z(N) \end{bmatrix}^T \mapsto \begin{bmatrix} z(N - \nu + 1) & \cdots & z(N) & z(1) & \cdots & z(N) \end{bmatrix}^T$$

The cyclic prefix has length v where v is greater than or equal to a duration of the impulse response of the channel and assures orthogonality of the frequency domain subchannels. According to the present invention, a supplemental cyclic prefix having length L may be added by cyclic prefix addition block 110 to the end of the v -length cyclic prefix to facilitate receiver synchronization to transmitter burst timing and/or transmitter carrier frequency.

A digital filtering stage 112 rejects interpolation images if interpolation is used and attenuates spectral regrowth due to discontinuities at boundaries between OFDM bursts. A digital-to-analog conversion system 114 converts the digital baseband signal, whether complex or real, to analog. An IF processing stage 116 converts the analog signal to an intermediate frequency and performs further filtering. The IF signal is then upconverted to an RF transmission frequency by the operation of a mixer 118. The RF transmission frequency is set by a variable frequency oscillator 120 feeding mixer 118. An RF processing system 122 includes further amplification and/or filtering prior to transmission via a transmission antenna 124.

Fig. 2 depicts an OFDM receiver system 200 according to one embodiment of the present invention. An RF antenna 202 receives an RF carrier modulated by a baseband OFDM signal. An RF processing stage 204 performs pre-amplification and filtering at the received frequency prior to downconversion to an intermediate frequency by a mixer 206. The carrier frequency received is determined by the frequency of a variable frequency oscillator 208. The IF output of mixer 206 is subject to further filtering and amplification within an IF processing stage 210. An analog to digital conversion system 212 converts the analog IF signal to a complex baseband digital signal. A digital filter 214 rejects any decimation images and out-of-band interference.

10 15 20 25 30 35 40 45 50 55 60 65 70 75 80 85 90 95 100 105 110 115 120 125 130 135 140 145 150 155 160 165 170 175 180 185 190 195 200 205 210 215 220 225 230 235 240 245 250 255 260 265 270 275 280 285 290 295 300 305 310 315 320 325 330 335 340 345 350 355 360 365 370 375 380 385 390 395 400 405 410 415 420 425 430 435 440 445 450 455 460 465 470 475 480 485 490 495 500 505 510 515 520 525 530 535 540 545 550 555 560 565 570 575 580 585 590 595 600 605 610 615 620 625 630 635 640 645 650 655 660 665 670 675 680 685 690 695 700 705 710 715 720 725 730 735 740 745 750 755 760 765 770 775 780 785 790 795 800 805 810 815 820 825 830 835 840 845 850 855 860 865 870 875 880 885 890 895 900 905 910 915 920 925 930 935 940 945 950 955 960 965 970 975 980 985 990 995

The output of digital filter 214 is a series of time domain symbol bursts. A cyclic prefix removal stage 216 determines the boundaries between bursts and removes both the v-length cyclic prefix and the supplemental cyclic prefix if one is used for synchronization. The remaining symbols are converted to the frequency domain by an FFT processing block 218. A training symbol removal block 220 removes training symbols injected for channel estimation purposes. The remaining data symbols are forward to a data symbol sink 222.

A first synchronization system 224 may perform burst and/or frequency synchronization based on the use of a supplemental cyclic prefix. A second synchronization system 226 may perform burst and/or frequency synchronization based on the use of special synchronization bursts. Although both systems are depicted, a particular implementation may use one or another or combine functions of both to accomplish frequency and burst synchronization.

Either of the two synchronization systems may provide input to a frequency control block 228 which controls reception frequency by varying the output frequency of variable frequency oscillator 208. In one embodiment, a frequency lock loop (FLL) exists whereby receiver variable frequency oscillator 208 of a first transceiver acts as a slave and locks to transmitter variable frequency oscillator 118 of a second transceiver which acts as the master. Also, the FLL may be used to lock the transmitter variable frequency oscillator 118 of the first transceiver to the transmitter variable frequency oscillator of the second transceiver, allowing a single timing source to control both transmission and reception at the second transceiver. Also, either of the two synchronization systems may provide input to a burst timing control system 230 which controls the determination of inter-burst boundaries within cyclic prefix removal stage 216.

The above-described transmitter system is merely representative. For example, selection of transmission frequency may occur in some other way rather than the operation of transmitter

variable frequency oscillator 120 and receiver variable frequency oscillator 208. Furthermore, the overall communication system may be a wireline system rather than a wireless system so some other transmission medium input and output may substitute for the depicted antennas.

Also, the present invention may operate in the context of a system that exploits multiple transmission antennas, multiple reception antennas, spatial diversity, and/or spatial processing as described in e.g., PCT Publication No. WO 98/09385, the contents of which are herein incorporated by reference. Many of the techniques presented herein will be presented in the context of a receiver system employing multiple reception antennas where elements 202, 204, 206, 210, 212, 214, 216, 218, and 220 are duplicated for each receiver antenna employed. First synchronization system 224, second synchronization system 226, receiver variable frequency oscillator 208, frequency control block 228, and/or burst timing control system 230 may be common to all of a set of multiple reception antennas.

Synchronization Overview

According to the present invention, techniques are provided for both frequency synchronization and burst synchronization. In one embodiment, the synchronization functions operate without any knowledge of the particular channel in which data is being transmitted.

There are typically two synchronization modes: acquisition and tracking. Acquisition mode refers to establishment of the link between transmitter system 100 and receiver system 200. Both burst timing and frequency offset are typically required in acquisition. Furthermore, in one embodiment, the cyclic prefix parameter, v is also initially unknown at the receiver. After the burst timing and frequency offset are acquired, they are maintained in tracking mode. In

tracking mode, correct burst timing and/or frequency offset are periodically or continuously re-estimated.

It is desirable that there be a large frequency acquisition range, e.g., 8 OFDM bins of frequency so that requirements for oscillator accuracy are reduced. During tracking, however, the offset error should be maintained to within +/- 1% of an OFDM bin to minimize errors in recovering symbols.

In the description that follows, the structure of a special synchronization burst is described first. Then the use of a synchronization burst to acquire burst timing and frequency offset is described. Another synchronization technique depends on the use of a supplemental cyclic prefix. The contents of this supplemental cyclic prefix within a data burst will be presented followed by a technique for using the supplemental cyclic prefix to acquire burst timing and frequency offset. Then a technique for tracking burst timing and frequency offset using the supplemental cyclic prefix will be described. Finally a technique will be described for refining the selection of optimal burst timing where the channel impulse response duration may vary in length.

Synchronization Burst: Content and Use for Acquisition

Acquisitions may be performed through the use of synchronization OFDM bursts. In one embodiment, one synchronization bursts is employed in every transmission frame of 32 bursts.

Fig. 3 depicts a null tone pattern in a synchronization burst 302 according to one embodiment of the present invention. The pattern is depicted in the frequency domain. The synchronization bursts include zero energy frequency domain symbols except for M symbols, equally spaced, beginning in frequency bin $n = 0$. The synchronization tone spacing N/M is

chosen to provide a sufficiently large frequency offset acquisition range where N is the length of the IFFT/FFT pair. Here $N/M = 4$. This frequency domain structure insures that received, time-domain samples repeat every M samples within each OFDM burst, regardless of the channel. Note, however, that the received data is typically not periodic within other bursts. The non-zero symbols within the synchronization burst typically have energy such that the synchronization burst has average energy equal to a data burst.

Second synchronization system 226 determines burst timing and frequency offset using the synchronization bursts. There are two cost functions that are employed:

The frequency cost function is given by:

$$d(\delta) = \sum_i^{M_R} \sum_{k=\delta}^{\delta+N-M-1} x_i(k)^* x_i(k+M).$$

where δ represents a particular burst timing alignment, i is an index to multiple receiver antennas, M_R is the number of receiver antennas, $x_i(k)$ is the time domain received data for antenna i at time index k , N is the FFT/IFFT length, and M is the number of frequency domain synchronization symbols used in the burst. It should be noted that d may be found recursively.

Preferably, this cost function should be smoothed with a forward/backward FIR filter given by:

$$\bar{d}(\delta) = \sum_{k=\delta-L}^{\delta+1} d(k).$$

Also, this cost function may be averaged every, e.g., 32 bursts.

The burst timing alignment cost function is given by:

$$c(\delta) = \sum_i^{M_R} \sum_{k=\delta}^{\delta+N-M-1} |x_i(k)|^2 + |x_i(k+M)|^2 - 2 \left| \sum_i^{M_R} \sum_{k=\delta}^{\delta+N-M-1} x_i(k)^* x_i(k+M) \right|$$

This function can also be calculated recursively and should preferably also be smoothed with a forward/backward FIR. The burst timing alignment cost function may also be averaged every, e.g., 32 bursts.

Fig. 4 is a flowchart describing steps of acquiring burst timing and frequency offset based on the synchronization burst of Fig. 3 according to one embodiment of the present invention. The burst timing cost function is recursively calculated for using the time-domain received samples. Every, e.g., 32 bursts, a minimum is found for the burst timing function. These minima identify the beginning of a synchronization burst. The number of samples between synchronization bursts will be equal to $32(N + \nu)$, or $32(N + \nu + L)$ if a supplemental cyclic prefix is included. Since N and L are typically fixed by system design, second synchronization system 226 can solve for ν at step 402. At step 404 second synchronization system 226 then finds the optimal burst timing, δ^{opt} , to be the one that gives the minimum value for the burst timing cost function.

At step 406, the frequency offset is then found to be:

$$f_{offset} = \frac{1}{2\pi M} \tan^{-1} \frac{\text{Im} \bar{d}(\delta^{opt})}{\text{Re} \bar{d}(\delta^{opt})}$$

The non-zero frequency domain symbols of the synchronization bursts may carry training information or system configuration data. If $M > \nu$ where ν is the impulse response duration of the channel, ν of the non-zero frequency domain symbols will preferably be used for training and the remaining frequency domain symbols may be used for data. Training procedures are

discussed in U.S. App. No. 09/234,929, (Attorney Docket No. CISC608) filed on January 21, 1999, entitled IMPROVED OFDM CHANNEL IDENTIFICATION, the contents of which are herein incorporated by reference. If $M < v$, all non-zero frequency domain symbols are used for training. The training symbols may, however, carry data in the form of phase differences between corresponding training symbols of successive bursts. In one embodiment, a constant phase difference between sets of training symbols in successive bursts may identify to the receiver the particular set of training symbols that are now being used.

Supplemental Cyclic Prefix Structure

Fig. 5 is a diagram of an OFDM burst 500 according to one embodiment of the present invention. OFDM burst 500, as depicted in the time domain, includes a v length cyclic prefix 502 and a supplemental cyclic prefix 504 having length L . Together, v length cyclic prefix 502 and supplemental cyclic prefix 504 duplicate the last $v + L$ of N time domain symbols. The v length cyclic prefix 500 assures orthogonality of the frequency domain subchannels as discussed above. Supplemental cyclic prefix 504 is used for synchronization purposes and is positioned after the v -length cyclic prefix so as to be protected from the effects of a time dispersive channel on the previous time domain burst. An alternative burst structure using a supplemental cyclic prefix for burst timing is described in the co-filed application entitled ENHANCED SYNCHRONIZATION BURST FOR OFDM SYSTEMS.

Use of Supplemental Cyclic Prefix for Acquisition

Fig. 6 is a flowchart describing steps of acquiring burst timing and frequency offset timing based on the structure of the OFDM data burst of Fig. 5 according to one embodiment of

the present invention. At step 602, burst timing and the cyclic prefix length ν are determined based on a burst timing cost function:

$$c(\delta) = \sum_i^{M_R} \sum_{k=\delta-L+1}^{\delta} |x_i(k)|^2 + |x_i(k+N)|^2 - 2 \left| \sum_i^{M_R} \sum_{k=\delta-L+1}^{\delta} x_i(k)^* x_i(k+N) \right|.$$

5 This burst timing cost function may be computed recursively:

$$cp(\delta) = cp(\delta-1) + p(\delta) + p(\delta+N) - p(\delta-1) - p(\delta+N-1)$$

$$c(\delta) = cp(\delta) - 2|d(\delta)|$$

where $d(\delta)$ is the frequency offset function defined below and where

$$p(k) = \sum_i^{M_R} |x_i(k)|^2, \text{ a power measurement also usable for automatic gain control purposes.}$$

10 The burst timing cost function is at a minimum where a block of data of length L repeats after an interval N , indicating repetition of the supplemental cyclic prefix. The cost function will repeat every $N + \nu + L$ samples. Since L is known and the value of N is known, this fact is used to determine the value of ν . For each possible value of the cyclic prefix ν_j , calculate the burst-averaged timing cost function:

$$15 \quad \bar{c}_j(\delta) = \sum_{k=0}^{31} c(\delta + k(N + \nu_j + L)), \quad \forall \delta \in [0, N + \nu_j + L - 1].$$

Whichever cost value, \bar{c}_j , has the smallest minima determines the value of ν .

The value of δ that corresponds to the minimum value of \bar{c}_j is the burst timing value, δ^{opt} . Before finding δ^{opt} , however, the burst-averaged timing cost function may be smoothed with forward/backward FIR filter ($l=4$),

$$\bar{c}_j(\delta) = \sum_{k=\delta-l}^{\delta+1} \bar{c}_j(k)$$

5 The frequency offset can be understood to be an integer number of OFDM bins plus a fractional part of an OFDM bin:

$$f_{offset} = f_{int} + \Delta f_{offset}$$

At step 604, the fractional part of the frequency offset is determined with the frequency offset cost function:

$$d(\delta) = \sum_i^{M_R} \sum_{k=\delta-L+1}^{\delta} x_i(k)^* x_i(k+N).$$

Note that d can be found recursively,

$$d(\delta) = d(\delta-1) + \sum_i^{M_R} x_i(\delta)^* x_i(\delta+N) - \sum_i^{M_R} x_i(\delta-L)^* x_i(\delta-L+N),$$

and is a component of the timing cost function.

15 As with the timing cost function, d repeats every $N + \nu + L$ samples. The burst-averaged frequency offset cost must be determined for the correct value of ν :

$$\bar{d}(\delta) = \sum_{k=0}^{31} d(\delta + k(N + \nu + L)), \quad \forall \delta \in [0, N + \nu + L - 1].$$

Then, the fractional frequency offset is given by

$$\Delta f_{offset} = \frac{1}{2\pi N} \tan^{-1} \frac{\text{Im} \bar{d}(\delta^{opt})}{\text{Re} \bar{d}(\delta^{opt})}.$$

where δ^{opt} is the minimizing value of the timing cost function.

5 Once the Δf_{offset} has been determined, variable frequency oscillator 208 is driven to a new frequency. Continued updates to frequency offset and burst timing are done with the timing and frequency offset functions. After the FLL has converged, OFDM bursts of data are converted to the frequency domain through the N -point FFT.

6650200 " 10 Determination of the integer portion of frequency offset at step 606 is based on the repetition of frequency domain training symbols at the same positions in successive bursts. Let $X_i(n, k)$ be the received frequency domain value at tone n , burst k and antenna i . The integer component of the frequency offset is determined by calculating $1 + N/\nu$ costs, d_j . This is done with

$$\text{for all } n, Y(n) = \sum_{i=1}^{M_R} \sum_{k=1}^K X_i^*(n, k) X_i(n + k + 2)$$

15 for $1 + N/\nu$ sets of frequencies, $d_j = \sum_{n \in J_j} Y(n) \quad j \in \{-4, 4\}$

where K may be as small as 1 and J_j are a set of ν frequency indices, equally spaced by N/ν :

$$J_j = \left[j \quad j + \frac{N}{\nu} \quad \dots \right]$$

The values for d_j are complex. The integer component of the frequency offset is determined based on the largest d_j :

$$f_{\text{int}} = \arg \max_j |d_j|^2 \text{ as expressed in bin widths.}$$

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Use of Supplemental Prefix for Tracking

Fig. 7 is a flowchart describing steps of tracking burst timing and frequency offset timing based on the structure of the OFDM data burst of Fig. 5 according to one embodiment of the present invention. In tracking mode, the supplemental cyclic prefix, may be used for burst timing and frequency offset estimate updates. In a preferred embodiment, it can be assumed that during tracking mode the sample clock does not slide more than one sample clock interval in a frame of successively transmitted OFDM bursts, although this is not essential for tracking. Furthermore, it is assumed that the frequency offset contained within plus-or-minus ½ OFDM bin. Hence, $f_{\text{int}} = 0$ and $f_{\text{offset}} = \Delta f_{\text{offset}}$. Given these constraints, the timing and frequency cost values need only be determined within a small interval around the current timing estimate, $\delta \in \kappa$. The cost functions should at a minimum be determined for a window that is slightly larger than the cyclic prefix.

The tracking mode burst timing and frequency offset cost functions are the same as the acquisition ones above that take advantage of the cyclic prefix.

As in acquisition mode, both the timing and frequency offset cost functions should preferably be averaged across a number of OFDM bursts determined according the amount of noise in the system. In one embodiment, the cost functions are averaged across 32 bursts. Hence, the average cost function over 32 burst period is given by, where

$$\bar{c}(\delta) = \sum_{k=1}^{32} c(k, \delta), \quad \forall \delta \in \kappa$$

where $c(k, \delta)$ is the timing cost function for burst k . In the same way,

$$\bar{d}(\delta) = \sum_{k=1}^{32} d(k, \delta), \quad \forall \delta$$

where $d(k, \delta)$ is the frequency offset cost function for burst k .

As in acquisition, the timing cost function should be forward/backward smoothed with an FIR. The minimum of $\bar{c}(\delta)$ has a timing estimate δ^{opt} . This new timing estimate may be exponentially averaged with past estimates to produce a smoothly varying timing value to use for control of burst timing at step 702. The frequency offset may be exponentially averaged with past estimates to produce a smoothly varying timing value to control frequency at step 704. The frequency offset is again given by:

$$\Delta f_{offset} = \frac{1}{2\pi N} \tan^{-1} \frac{\text{Im} \bar{d}(\delta^{opt})}{\text{Re} \bar{d}(\delta^{opt})}.$$

Refinement to Optimizing Burst Timing Cost Function Based on Supplemental Cyclic

Prefix

Where the burst timing cost function is based on the supplemental cyclic prefix, the optimal burst timing may vary within a range depending on the duration of the channel impulse response. For channels having impulse responses shorter than v , there will be range of timings for which the cost function will be at a minimum or near minimum. This is because symbols at the end of the v -length cyclic prefix will be as protected from corruption from the previous burst as symbols within the L -length supplemental cyclic prefix and thus will correlate well with symbols more than L before the end of the current burst. This range of possible optimal burst timings need not be a problem because for timings that determine the beginning of the N time domain symbols too early, the symbols added at the beginning are uncorrupted and identical to the ones lost at the end. The operation of OFDM will be insensitive to this timing slip and thus each recovered frequency domain symbol will remain independent of other symbols.

It may however, be desirable to select the optimal burst timing that would be found for a v -length channel even if the actual channel impulse response duration is shorter. For example, in a mobile application, channel impulse response duration may vary and even if the channel impulse response has a short duration at one time, it may quickly lengthen making a burst timing that was once optimal no longer acceptable. To address this problem, one embodiment of the present invention provides a system and method for determining the optimal burst timing that would be found for a v -length channel even if the current impulse response is shorter.

Fig. 8 depicts a graph 800 of a cost function for burst timing where the channel has an impulse response shorter than v and there are therefore a range of optimal burst timings. In certain applications, it would be desirable to select the burst timing that corresponds to a right edge 802 of the range of optimal burst timings.

Edge 802 is defined to be the value of the cost function as δ progresses from the optimal value at the beginning of the N -interval into the N -interval. The shape of the expected cost function is

$$Ec_p(\delta) = 2l\sigma_v^2 + \frac{2\sigma_x^2}{\nu}a(\delta)$$

5 where σ_v^2 is the additive noise variance, σ_x^2 is the variance of the noise-free received samples, and

$$a(\delta) = \begin{cases} 0 & \text{for } \delta < \delta_b \\ \sum_{k=0}^{\delta-\delta_b} k & \text{for } \delta \geq \delta_b \end{cases}$$

Let

$$\mathbf{a} = [0 \ 1 \ 3 \ 6 \ \dots \ \sum_{k=0}^{L-1} k]^T$$

$$\mathbf{c}(\delta) = [c_p(\delta) \ \dots \ c_p(\delta + L - 1)]^T$$

To find the edge, δ_b is determined by

$$\begin{aligned} \delta_b &= \arg \min_{\delta, x} \|\mathbf{c}(\delta) - \mathbf{a}x\|_2^2 \\ &= \arg \min_{\delta} \mathbf{c}(\delta)^T \mathbf{c}(\delta) - \frac{|\mathbf{c}(\delta)^T \mathbf{a}|^2}{\mathbf{a}^T \mathbf{a}} \\ &= \arg \max_{\delta} \frac{|\mathbf{c}(\delta)^T \mathbf{a}|^2}{|\mathbf{a}|^2 \|\mathbf{c}(\delta)\|^2} \end{aligned}$$

Note for the purposes of recursive implementations that:

$$|c(\delta + 1)|^2 = |c(\delta)|^2 + c_p(\delta + L)^T c_p(\delta + L) - c_p(\delta)^T c_p(\delta).$$

Conclusion

5 While the above is a complete description of preferred embodiments of the invention,
there is alternatives, modifications, and equivalents may be used. It should be evident that the
invention is equally applicable by making appropriate modifications to the embodiments
described above. For example, in a system that employs both synchronization bursts and a
supplemental cyclic prefix, the receiver may utilize the synchronization bursts for the frequency
10 cost function and the supplemental cyclic prefix for the burst timing cost function, or vice versa.
Also, according to the present invention, synchronization bursts may be used for tracking.
Therefore, the above description should not be taken as limiting the scope of the invention that is
defined by the metes and bounds of the appended claims along with their full scope of
equivalents.

CLAIMS

What is claimed:

1. A method for transmitting an OFDM signal via a channel to facilitate receiver synchronization comprising:

transforming a series of frequency domain data symbols into a burst of time domain symbols;

appending to a beginning of said time domain burst a cyclic prefix duplicating a last segment of said time domain burst, wherein said cyclic prefix includes a first portion having length v wherein v is greater than or equal to an impulse response of said channel; and further includes a second portion after said first portion to facilitate receiver synchronization; and

transmitting said data burst with said appended cyclic prefix.

2. A method for transmitting an OFDM signal to facilitate receiver synchronization comprising:

developing a frequency domain burst wherein periodically spaced frequency domain symbols of said burst have values including non-zero values and frequency domain symbols between said periodically spaced frequency domain symbols have null energy; and

transmitting said frequency domain burst.

3. A method for synchronizing to a received OFDM signal comprising:

receiving successive OFDM bursts wherein each of said bursts includes in the time domain, a series of N time domain symbols, a cyclic prefix duplicating a last segment of said series of N time domain symbols, wherein said cyclic prefix includes a first portion having length v wherein v is greater than or equal to an impulse response of said channel; and further includes a second portion after said first portion to facilitate receiver synchronization;

evaluating a first cost function over said successive OFDM bursts that varies depending on receiver burst timing alignment to said successive OFDM bursts; and

setting said burst timing alignment to optimize said first cost function, thereby synchronizing receiver burst timing to transmitter burst timing.

4. The method of claim 3 wherein said first cost function evaluates degree of match between said second portion of cyclic prefix and a corresponding portion of said N time domain symbols.

5. The method of claim 3 wherein said first portion of said cyclic prefix has initially unknown length, said first cost function varies depending on said length and said setting step further varies said cyclic prefix length to optimize said first cost function.

6. The method of claim 3 wherein setting comprises:

determining an optimal burst timing that will be optimal for all channel impulse response durations up to v .

7. The method of claim 3 further comprising:

determining a fractional component of a receiver frequency alignment as measured in a unit defined by spectral width of a single OFDM frequency domain symbol based on said burst

timing alignment as varied to optimize said first cost function and on a second cost function that varies according to frequency alignment.

8. The method of claim 7 wherein each of said OFDM bursts include frequency domain training symbols at predetermined positions and having predetermined values; and further comprising:

setting said integer component of said receiver frequency alignment so that said frequency domain training symbols are received at their predetermined positions.

9. A method for synchronizing a receiver to an OFDM signal comprising:

receiving at least one synchronization OFDM burst wherein periodically spaced frequency domain symbols of said bursts have predetermined values and tones between said periodically spaced periodically spaced frequency domain symbols have null energy;

evaluating a first cost function that varies depending on burst timing alignment, said first cost function measuring time domain periodicity of said synchronization OFDM burst; and

setting said burst timing alignment to optimize said first cost function.

10. The method of claim 11 further comprising

computing a receiver frequency offset based on said burst timing alignment as optimized by said setting step.

11. A method for synchronizing a receiver to an OFDM signal comprising:

receiving at least one OFDM synchronization burst wherein periodically spaced frequency domain symbols of said burst have values including non-zero values and frequency

domain symbols between said periodically spaced frequency domain symbols have null energy;
and

determining burst timing alignment and frequency offset responsive to optimization of cost functions determined in response to contents of said at least one OFDM synchronization burst.

12. A system for transmitting an OFDM signal via a channel to facilitate receiver synchronization comprising:

a transforming stage that transforms a series of frequency domain data symbols into a burst of time domain symbols; and

a cyclic prefix appending stage that appends to a beginning of said time domain burst a cyclic prefix duplicating a last segment of said time domain burst, wherein said cyclic prefix includes a first portion having length v wherein v is greater than or equal to an impulse response of said channel; and further includes a second portion after said first portion to facilitate receiver synchronization.

13. The system of claim 12 further comprising:

a transmission stage that transmits said data burst with said appended cyclic prefix.

14. A system for transmitting an OFDM signal to facilitate receiver synchronization comprising:

a synchronization burst generation stage that develops a frequency domain burst wherein periodically spaced frequency domain symbols of said burst have values including non-zero

values and frequency domain symbols between said periodically spaced frequency domain symbols have null energy; and

a transform processing stage that transforms said frequency domain burst into a time domain burst.

15. The system of claim 14 wherein at least one of said periodically spaced frequency domain symbols carries data.

16. A system for synchronizing to a received OFDM signal comprising:

an OFDM reception system that receives OFDM bursts wherein each of said bursts includes in the time domain, a series of N time domain symbols, a cyclic prefix duplicating a last segment of said series of N time domain symbols, wherein said cyclic prefix includes a first portion having length ν wherein ν is greater than or equal to an impulse response of said channel; and further includes a second portion after said first portion to facilitate receiver synchronization; and

a synchronization system that evaluates a first cost function over said successive OFDM bursts that varies depending on receiver burst timing alignment to said successive OFDM bursts; and that sets said burst timing alignment to optimize said first cost function, thereby synchronizing receiver burst timing to transmitter burst timing.

17. The system of claim 16 wherein said first cost function evaluates degree of match between said second portion of cyclic prefix and a corresponding portion of said N time domain symbols.

18. The system of claim 16 wherein said first portion of said cyclic prefix has initially unknown length, said first cost function varies depending on said length and said synchronization system further varies said cyclic prefix length to optimize said first cost function.

19. The system of claim 16 wherein said synchronization system determines optimal burst timing that will be optimal for all channel impulse response durations up to .

20. The system of claim 16 wherein said synchronization system determines a fractional component of a receiver frequency alignment as measured in a unit defined by spectral width of a single OFDM frequency domain symbol based on said burst timing alignment as varied to optimize said first cost function and on a second cost function that varies according to frequency alignment.

21. The system of claim 19 wherein each of said OFDM bursts include frequency domain training symbols at predetermined positions and having predetermined values; and wherein said synchronization system sets said integer component of said receiver frequency alignment so that said frequency domain training symbols are received at their predetermined positions.

22 A system for synchronizing a receiver to an OFDM signal comprising:

an OFDM receiver system that receives at least one synchronization OFDM burst wherein periodically spaced tones of said burst have values including non-zero values and tones between said periodically spaced tones have null energy; and

a synchronization system that evaluates a first cost function that varies depending on burst timing alignment, said first cost function measuring periodicity of said synchronization OFDM burst; and

wherein said synchronization system sets said burst timing alignment to optimize said first cost function.

23. The system of claim 22 wherein said synchronization system computes a receiver frequency offset based on said burst timing alignment that optimizes said first cost function.

24. A system for synchronizing a receiver to an OFDM signal comprising:

an OFDM receiver system that receives at least one OFDM synchronization burst wherein periodically spaced frequency domain symbols of said burst have values including non-zero values and frequency domain symbols between said periodically spaced frequency domain symbols have null energy; and

a synchronization system that determines burst timing alignment and frequency offset responsive to optimization of cost functions determined in response to contents of said at least one OFDM synchronization burst.

25. The system of claim 24 wherein at least one of said periodically spaced frequency domain symbols carries data.

SYNCHRONIZATION IN OFDM SYSTEMS

ABSTRACT

Highly effective systems and methods for synchronizing OFDM receiver parameters to an OFDM transmitter are provided. These parameters may include carrier frequency, burst timing, and cyclic prefix length. These systems and methods incorporate special structural features into the OFDM signal to facilitate synchronization. In one embodiment, a supplemental cyclic prefix is added to an OFDM signal to facilitate synchronization. In an alternative embodiment, a synchronization burst with a periodic structure is used to facilitate synchronization. According to the present invention, synchronization may be maintained even if low cost analog oscillator components are used.

665020-03459

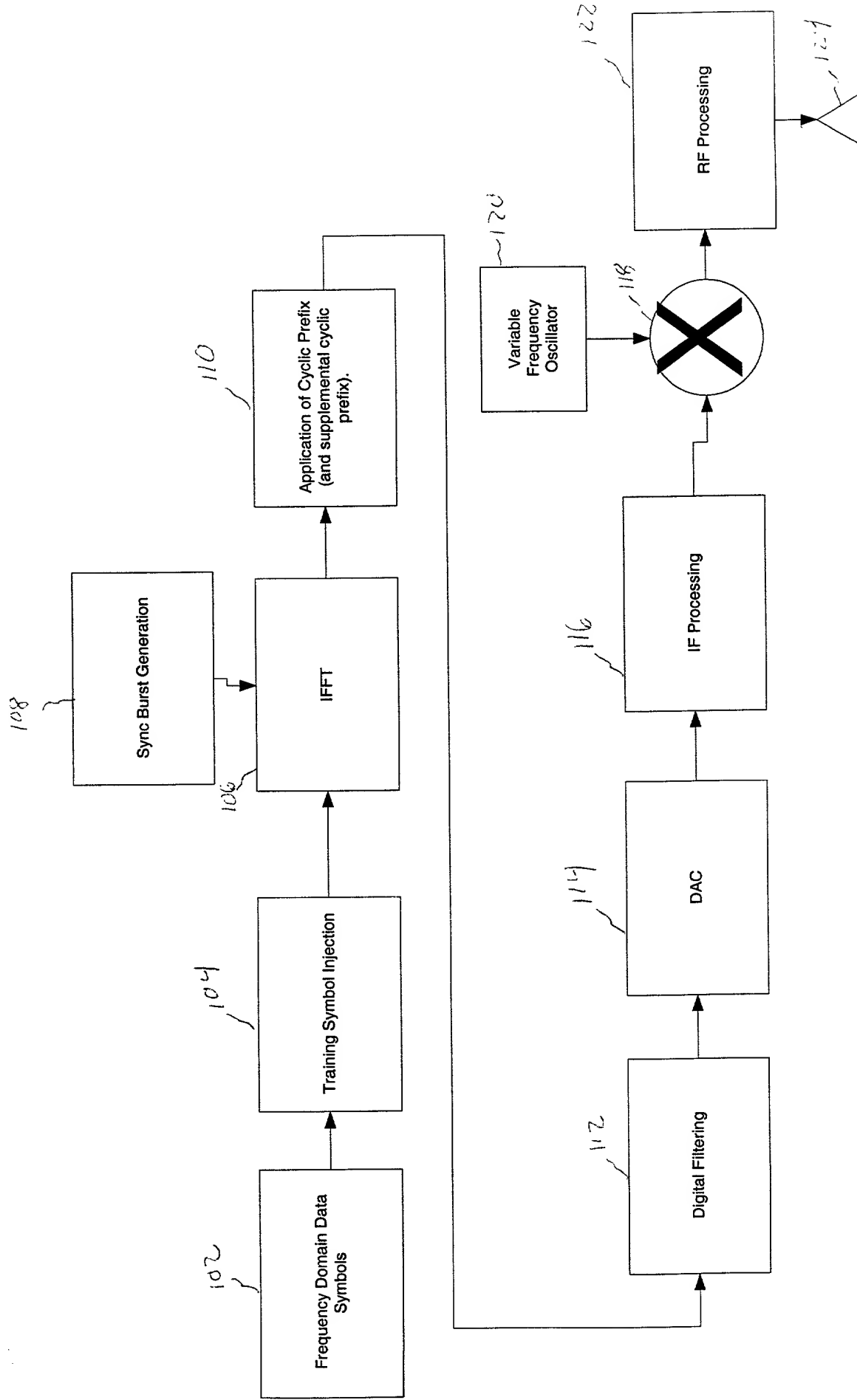
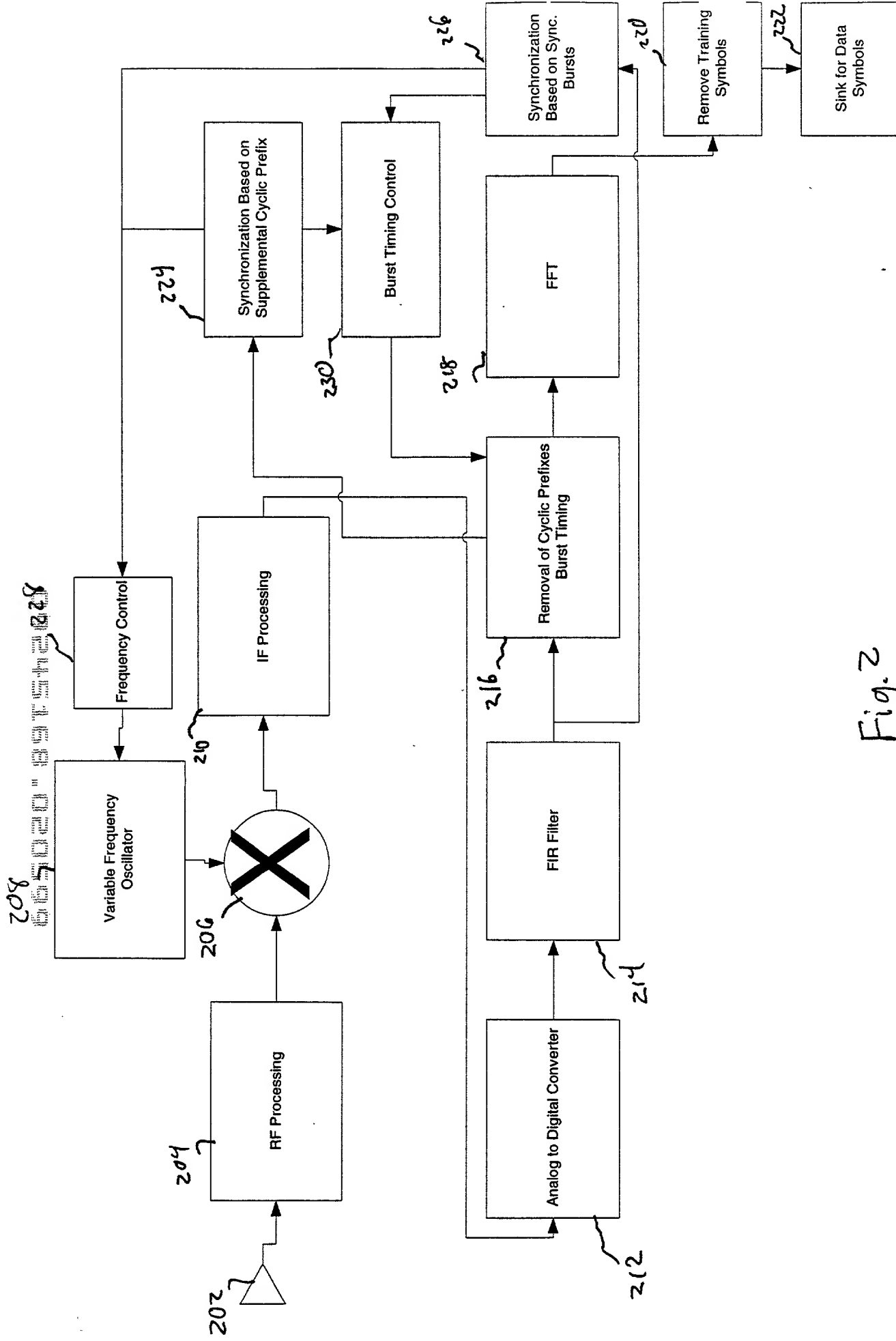


Fig. 1



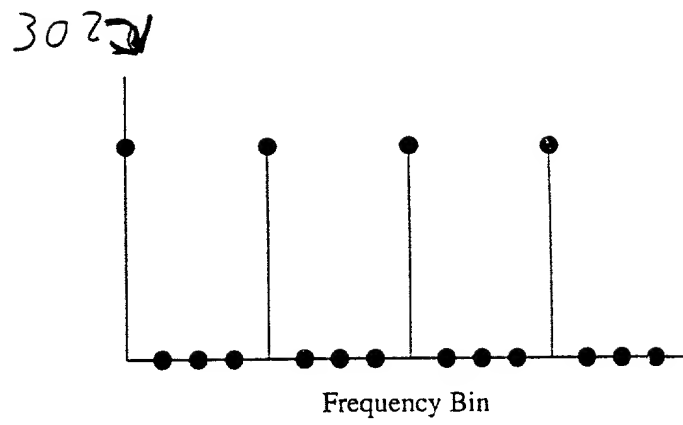


Fig. 3

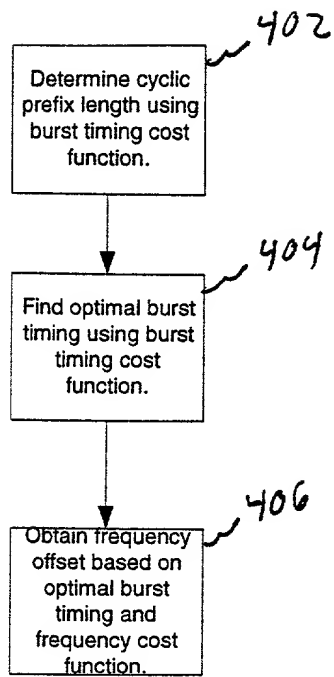


Fig. 4

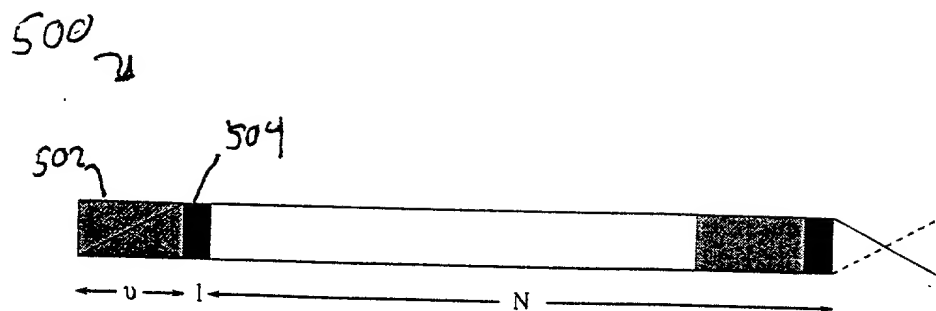


Fig. 5

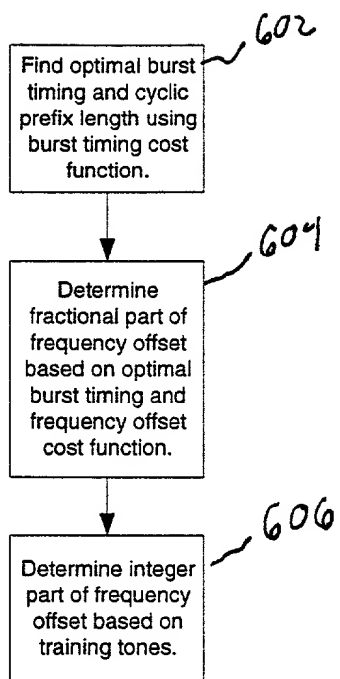


Fig. 6

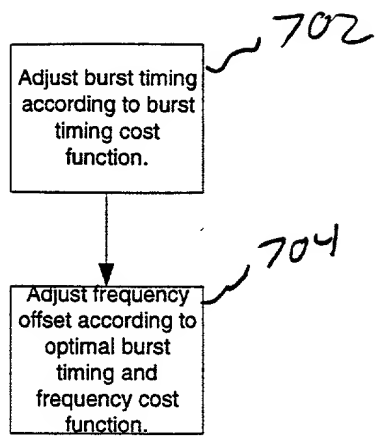


Fig. 7

DECLARATION AND POWER OF ATTORNEY FOR ORIGINAL U.S. PATENT APPLICATION

Attorney's Docket No. CISCP604

As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **IMPROVED SYNCHRONIZATION IN OFDM SYSTEMS**, the specification of which,

- (check one)
1. ☒ is attached hereto.
 2. ☐ was filed on _____ as
U.S. Application No. _____
and was amended on _____.
 3. ☐ was filed on _____ as
International PCT Application No. _____
and was amended on _____.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, CFR § 1.56.

I hereby claim foreign priority benefits under Title 35, United States code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)			Priority Benefits Claimed?
_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No
(Appl. No.)	(Country)	(Filing Date)	
_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No
(Appl. No.)	(Country)	(Filing Date)	

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below:

Prior Provisional Application(s)

<u>60/074,331</u>	<u>February 6, 1998</u>
(Application No.)	(Filing Date)
_____	_____
(Application No.)	(Filing Date)

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

Prior U.S. Application(s)

_____ (Application No.)	_____ (Filing Date)	_____ (Status - patented, pending, abandoned)
_____ (Application No.)	_____ (Filing Date)	_____ (Status - patented, pending, abandoned)

And I hereby appoint the law firm of Ritter, Van Pelt & Yi LLP, including **Michael J. Ritter (Reg. No. 36,653)**; **Lee Van Pelt (Reg. No. 38,352)**; **Susan C. Yi (Reg. No. 39,883)**; and **Dan H. Lang (Reg. No. 38,531)** as my principal attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

Please Direct all Correspondence To: Customer No. 21912

Direct Telephone Calls To: Dan H. Lang at telephone number (650) 903-3507

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Typewritten Full Name of
Sole or First Inventor: Vincent K. Jones Citizenship: US
Inventor's signature: _____ Date of Signature: _____
Residence: (City) Redwood Shores (State/Country) CA/USA
Post Office Address: 2208 Hastings Shore Lane, Redwood Shores, CA 94065

Full Name of Second Joint
Inventor (if any): Michael Pollack Citizenship: US
Inventor's signature: _____ Date of Signature: _____
Residence: (City) Cupertino (State/Country) CA/USA
Post Office Address: 20196 Northbrook Square, Cupertino, CA 95014

Full Name of Third Joint
Inventor (if any): Gregory G. Raleigh Citizenship: US
Inventor's signature: _____ Date of Signature: _____
Residence: (City) El Granada (State/Country) CA/USA
Post Office Address: 539 San Juan Ave., P.O. Box 1870, El Granada, CA 94018